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## Volume 2. Air Operator Certification and Fractional Ownership Application

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### CHAPTER 4. THE APPLICATION PROCESS - 14 CFR PART 91K

#### SECTION 4. PHASE 3 – DOCUMENT COMPLIANCE

**447. GENERAL.** The document compliance phase is that part of the application process when the applicant's manuals and other documents are reviewed in depth to ensure compliance with applicable regulations and conformity to safe operating practices.

**NOTE:** These documents may include paper representation of data intended for display on the airplane; for example, electronic checklists or approved flight manuals. Guidance on the use of electronic checklists is provided in Advisory Circular (AC) 120-64, "Operational Use and Modification of Electronic Checklists." Operators' use of electronic checklists should be consistent with the provisions of AC 120-64 (as amended).

A. An important responsibility of the project manager is to organize the application team's efforts to promptly review the applicant's manuals and other documents. Two key elements useful in planning activities in the document compliance phase are the schedule of events and the compliance statement. The schedule of events determines what will be examined and when. The previously agreed upon schedule of events will determine the priority of items to be reviewed and any additional inspector support or other Federal Aviation Administration (FAA) resources that will be needed beyond the composition of the basic application team. The document compliance phase is an intensive process and will most likely require additional resources to accomplish necessary tasks in a timely manner.

B. The plan for review should ensure that each of the required manuals or documents submitted by the applicant will be reviewed in accordance with procedures and criteria outlined in other volumes of this handbook. The compliance

statement directs the inspector to the location in the applicant's manuals where a compliance procedure is described. The schedule of events (figures 2.4.2.3.) is designed as a tracking tool for the completion of individual events/document reviews.

#### **449. REVIEW OF APPLICANT'S SUBMISSIONS.**

During this phase, members of the application team evaluate and approve or accept the applicant's manuals and any other required documents. Review of the applicant's submissions should be accomplished by simultaneous reference to the 14 CFR, the compliance statement, and the appropriate manual or document. After final revisions have been approved by the application team, a formal meeting should be conducted with the applicant to review the plans for proving and validation tests, as required.

**451. DOCUMENT DEFICIENCIES.** If an inspector's review reveals deficiencies in the applicant's submissions, the project manager should negotiate resolution of the deficiencies. The team should be ready to offer suggestions on how to improve the product, but avoid "writing" the applicant's manual. The application team should remember that it is the applicant's responsibility to develop manuals and procedures that ensure safe operating practices and compliance with the rules. Proving tests will not be conducted until the application team is satisfied, through its review of the compliance statement and formal application package, that all regulatory requirements have been adequately addressed. The applicant's methods of compliance will be evaluated throughout the demonstration and inspection phase.

#### **452. – 472. RESERVED.**

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